

UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	8317-151-999	Total Pages	62
	First Named Inventor or Application Identifier			
	Li YAO et al.			
	Express Mail Label No.			

APPLICATION ELEMENTS <i>See MPEP chapters 600 concerning utility patent application contents.</i>	Address to: Commissioner for Patents P.O. Box 1450 Mail Stop PATENT APPLICATION Alexandria, VA 22313-1450
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1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
3. ☒ Specification [Total Pages 58]
(preferred arrangement set forth below, MPEP 1503.01)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description of the Invention (including drawings, if filed)
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 2]
5. ☒ Oath or Declaration (Unexecuted) [Total Sheets 2]
a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. ☐ Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: U.S. Application Serial No. 09/226,996, filed January 7, 1999, which is a continuation-in-part of U.S. Application Serial No. 09/043,505, filed March 23, 1998, now U.S. Patent No. 6,117,783, which claims the priority of International Patent Application No. PCT/US97/12220, filed July 21, 1997, which in turn claims the priority of U.S. Provisional Application Serial No. 60/023,299, filed July 26, 1996, each of which are hereby incorporated by reference in their entirety..

Prior application information: Examiner: Alanko

Group Art Unit: 1763

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

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20582
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PENNIE & EDMONDS LLP
COUNSELORS AT LAW
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ATTORNEY DOCKET NO. 8317-151-999

Date: October 21, 2003

Commissioner for Patents
P.O. Box 1450
Mail Stop PATENT APPLICATION
Alexandria, VA 22313-1450

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Li YAO and Robert J. SMALL Executed on: (Unexecuted)
Title of Invention: ABRASIVE-FREE CHEMICAL MECHANICAL POLISHING COMPOSITION
AND POLISHING PROCESS CONTAINING SAME

PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	23	- 20	3	\$18.00 each	\$ 54
Independent	3	- 3	0	\$86.00 each	\$ 0
Minimum Fee					\$ 770
Multiple Dependency Fee					\$ 0
If Applicable (\$290.00)					\$ 0
Total					\$ 824
Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					\$ 0
Total Filing Fee					\$ 824

☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

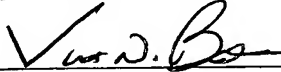
☒ This is a continuation-in-part of U.S. Application Serial No. 09/043,505, filed March 23, 1998, now U.S. Patent No. 6,117,783, which claims the priority of International Patent Application No. PCT/US97/12220, filed July 21, 1997, which in turn claims the priority of U.S. Provisional Application Serial No. 60/023,299, filed July 26, 1996, each of which are hereby incorporated by reference in their entirety.

☐ The certified copy of the priority application has been filed in application no. filed on .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

October 21, 2003


Victor N. Balancia
PENNIE & EDMONDS LLP

31,231
Reg No.

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.